

JC985 U.S. PTO  
05/11/01

05-14-01

A1Re

Please type a plus sign (+) inside this box → PTO/SB/50 (08-00)  
Approved for use through 12/30/2000 OMB 0651-0033  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

JC997 U.S. PTO  
09/853852  
05/11/01

## REISSUE PATENT APPLICATION TRANSMITTAL

Address to:

Assistant Commissioner for Patents  
Box Reissue  
Washington, DC 20231

Attorney Docket No.	153501-0357
First Named Inventor	Geis, E. et al.
Original Patent Number	5,903,136
Original Patent Issue Date (Month/Day/Year)	May 11, 1999
Express Mail Label No.	EL 088 713 794 US

APPLICATION FOR REISSUE OF:  
(Check applicable box) Utility Patent Design Patent Plant Patent

## APPLICATION ELEMENTS (37 CFR 1.173)

- Fee Transmittal Form (PTO/ SB/ 56)  
(Submit an original, and a duplicate for fee processing)
- Applicant claims small entity status. See 37 CFR 1.27.
- Specification and Claims in double column copy of patent format (amended, if appropriate)
- Drawing(s) (proposed amendments, if appropriate)
- Reissue Oath/Declaration (original or copy)  
(37 C.F.R. § 1.175) (PTO/SB/51 or 52)
- Original U.S. Patent currently assigned?

 Yes  No

(If Yes, check applicable box(es))

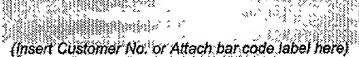
Written Consent of all Assignees (PTO/SB/53) (unexecuted)  Power of Attorney  
(37 C.F.R. § 3.73(b) Statement (PTO/SB/96) (unexecuted) (unexecuted)

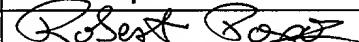
## ACCOMPANYING APPLICATION PARTS

- Statement of status/support for all changes to the claims. See 37 CFR 1.173 (c).
- Original U.S. Patent for surrender  
 Ribboned Original Patent Grant  
 Statement of Loss (PTO/SB/55)
- Foreign Priority Claim (35 U.S.C. 119) (if applicable)
- Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
- English Translation of Reissue Oath/Declaration (if applicable)
- Preliminary Amendment
- Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

14. Other: **Request for Abstract of Title**  
.....  
.....

## 15. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label  or  Correspondence address below  
(Insert Customer No. or Attach bar code label here)

Name	IRELL & MANELLA LLP			
Address	1800 Avenue of the Stars Suite 900			
City	Los Angeles	State	CA	Zip Code
Country	U.S.A.	Telephone	310-277-1010	Fax
			43,010	
Signature			Date	May 11, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Reissue, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>REISSUE APPLICATION FEE TRANSMITTAL FORM</b>				Docket Number (Optional) <b>153501-0357</b>			
<b>Claims as Filed - Part 1</b>							
Claims in Patent		Number Filed in Reissue Application	(3) Number Extra	Small Entity		Other than a Small Entity	
				Rate	Fee	Rate	Fee
(A) <b>25</b>	Total Claims (37 CFR 1.16(j))	(B) <b>25</b>	**** <b>0</b> =	x \$ <b>0</b> =	or	x \$ _____ =	
(C) <b>8</b>	Independent claims (37 CFR 1.16(i))	(D) <b>8</b>	* <b>0</b> =	x \$ <b>0</b> =		x \$ _____ =	
				Basic Fee (37 CFR 1.16(h))		<b>\$ 355</b>	\$ _____
				Total Filing Fee	<b>\$ 355</b>	OR	\$
<b>Claims as Amended - Part 2</b>							
(1) Claims Remaining After Amendment		(2) Highest Number Previously Paid For	(3) Extra Claims Present	Small Entity		Other than a Small Entity	
				Rate	Fee	Rate	Fee
Total Claims (37 CFR 1.16(j))	*** <b>231</b>	MINUS	** <b>25</b>	* = <b>206</b>	x \$ <b>9</b> =	<b>1854</b>	x \$ _____ =
Independent Claims (37 CFR 1.16(i))	*** <b>25</b>	MINUS	***** <b>8</b>	= <b>17</b>	x \$ <b>40</b> =	<b>680</b>	x \$ _____ =
				Total Additional Fee	<b>2534</b>	OR	\$
* If the entry in (D) is less than the entry in (C), Write "0" in column 3.							
** If the "Highest Number of Total Claims Previously Paid For" is less than 20, Write "20" in this space.							
*** After any cancellation of claims.							
**** If "A" is greater than 20, use (B - A); if "A" is 20 or less, use (B - 20).							
***** "Highest Number of Independent Claims Previously Paid For" or Number of Independent Claims in Patent (C).							
<p><input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p><input type="checkbox"/> Please charge Deposit Account No. _____ in the amount of _____. A duplicate copy of this sheet is enclosed.</p> <p><input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees under 37 CFR 1.16 or 1.17 which may be required, or credit any overpayment to Deposit Account No. <u>09-0946</u>. A duplicate copy of this sheet is enclosed.</p> <p><input checked="" type="checkbox"/> A check in the amount of \$ <u>2889.00</u> to cover the filing / additional fee is enclosed.</p> <p><input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.</p>							
<b>WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</b>							
05/11/01				 Signature of Applicant, Attorney or Agent of Record			
				<b>Robert Popa</b>			
				Typed or printed name			

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re reissue application of: )  
U. S. Patent No: 5,903,136 )  
Issued : May 11, 1999 )  
Inventor(s) : Geis, E. et al. )  
For : Turbogenerator/Motor Controller )  
\_\_\_\_\_  
)

ASSENT OF ASSIGNEE  
AND CERTIFICATION UNDER 37 CFR 3.73(b)

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Capstone Turbine Corporation, assignee of the entire interest in the above-referenced letters patent, hereby assents to the accompanying application for reissue.

Capstone Turbine Corporation, ("assignee"), a corporation having a place of business at 21211 Nordhoff Street, Chatsworth, California 91311, certifies that to the best of assignee's knowledge and belief it is the assignee of the entire right, title, and interest in and to the above-referenced patent and represents that the undersigned is a representative authorized and empowered to sign on behalf of the assignee.

CAPSTONE TURBINE CORPORATION

Dated: \_\_\_\_\_  
By: Jeffrey Watts  
Its: Chief Financial Officer

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>REISSUE APPLICATION: CONSENT OF ASSIGNEE; STATEMENT OF NON-ASSIGNMENT</b>		Docket Number (Optional) 153501-0357
This is part of the application for a reissue patent based on the original patent identified below.		
Name of Patentee(s) <b>Capstone Turbine Corporation</b>		
Patent Number	5,903,116	Date Patent Issued <b>May 11, 1999</b>
Title of Invention <b>Turbogenerator/Motor Controller</b>		
<ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> Filed herein is a statement under 37 CFR 3.73(b). (Form PTO/SB/96)</li> <li>2. <input type="checkbox"/> Ownership of the patent is in the inventor(s), and no assignment of the patent is in effect.</li> </ol>		
<p>One of boxes 1 or 2 above must be checked. If multiple assignees, complete this form for each assignee. If box 2 is checked, skip the next entry and go directly to "Name of Assignee".</p> <p>The written consent of all assignees and inventors owning an undivided interest in the original patent is included in this application for reissue.</p>		
<p>The assignee(s) owning an undivided interest in said original patent is/are <b>Capstone Turbine Corporation</b> and the assignee(s) consents to the accompanying application for reissue.</p>		
<p>Name of assignee/inventor (if not assigned) <b>Capstone Turbine Corporation</b></p>		
Signature	Date	
<p>Typed or printed name and title of person signing for assignee (if assigned)</p> <p><b>Jeffrey Watts, Chief Financial Officer</b></p>		

Burden Hour Statement: This form is estimated to take 0.1 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re reissue application of: )  
U. S. Patent No: **5,903,116** )  
Issued : **May 11, 1999** )  
Inventor(s) : **Geis, E. et al.** )  
For : **Turbogenerator/Motor** )  
                  **Controller** )  
                                  )  
\_\_\_\_\_

REQUEST FOR ABSTRACT OF TITLE

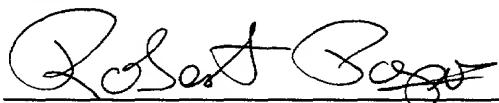
Box REISSUE  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

Please prepare a certified Abstract of Title in respect of the above identified original patent for placing in the official file of the Reissue Application which is filed herewith.

Please charge \$25.00, in accordance with 37 CFR 1.19(b)(4), to Deposit Account No. 09-0946, for which purpose a duplicate of this paper is enclosed.

Respectfully submitted,



\_\_\_\_\_  
Robert Popa (Registration No. 43,010)

Irell & Manella, LLP  
1800 Avenue of the Stars, Suite 900  
Los Angeles, California 90067  
Telephone: (310) 277-1010  
Facsimile: (310) 203-7199